

U.S. SECURITIES AND EXCHANGE COMMISSION
PUBLIC NOTICE OF VACANCY

NUMBER: ESHA-04-024-MK

Opens: February 20, 2004

Closes: March 04, 2004

Supervisory Securities Compliance Examiner (SI), SK-1831-15

GRADES/SALARIES: SK-15 (\$111,608 - \$142,990 per annum)

PROMOTION POTENTIAL: SK-15

This is a non-bargaining unit position.

OFFICE: Southeast Regional Office, Miami, FL

VACANCIES: 1*

APPOINTMENT: Career-Conditional

*A total of one vacancy will be filled under ESHA-04-024-MK or ESHA-04-023-MK, which is being advertised as a Supervisory Staff Accountant (SI), SK-510-15.

SCHEDULE: Full time

(Branch of Broker-Dealer)

This position involves approximately 20% travel. U.S. Citizenship is required. Moving Expenses will not be paid

WHAT WORK WILL YOU PERFORM

As a Supervisory Securities Compliance Examiner, you will,

- Serve as Branch Chief in the Examination Program, Broker Dealer/Transfer Agent Branch.
- Plan, supervise, coordinate and administer the work performed by the staff assigned to the branch.
- Oversee inspection programs of the general business practices and policies of broker-dealers and transfer agents.
- Interpret technical and accounting aspects of Federal Securities laws and the rules and regulations promulgated thereunder for the benefit of investors, registrants, and the general public.
- Conduct field examinations of complex transfer agent and brokerage firms.

BENEFITS: SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Federal Long Term Care Insurance, and Flexible Spending Account.

What Are The Qualification Requirements?

Mandatory Selective Factor:

The mandatory selective factor is essential to perform the duties of this position. Please include a narrative that clearly addresses how you meet this mandatory selective factor. If your application does not clearly show you meet the mandatory selective factor, you will **not** receive further consideration for the position.

1. Experience in the examination of the full range of broker-dealer and/or transfer agents.

Specialized Experience:

One full year of specialized experience at a level of difficulty equivalent to the next lower grade (GS/SK-13) in the Federal service or private sector. Current GS/SK-14 or SK-15 level applicants may apply for competitive reassignment. Specialized experience is work in which candidates can show: (1) Experience that demonstrates the knowledge of Federal securities laws, rules, regulations and investigative techniques and procedures. (2) Experience that demonstrates the ability to lead examinations of large registrants. (3) Experience that demonstrates knowledge of the securities industry and its practices. (4) Experience that demonstrates the ability to work and deal effectively with others.

Substitution of Education: None

ICTAP ELIGIBLES

If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criterion established for the position. A well-qualified displaced employee will be referred before any other qualified candidates. ICTAP eligible candidates will be evaluated against the following factor to determine if they are well qualified:

For SK-15:

Demonstrated experience evaluating financial statements and reports of public companies and recognizing accounting deficiencies and implications of novel transactions for compliance with federal securities laws.

HOW TO APPLY

Candidates **MUST** submit:

- A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies; 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the attached SEC Employment Guide. If you are a Federal employee please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
- Veterans should provide a copy of a DD-214 verifying honorable military service.
- Where appropriate, transcript (proof of degree with appropriate courses) must be provided by time of interview.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

FILING APPLICATIONS

Applications must be received in the U.S. Securities and Exchange Commission, Office of Human Resources and Administrative Services, 6432 General Green Way, Alexandria, VA 22312, no later than announced closing date as cited above. For consideration, applicants must meet qualifications on or before date of cut off specified during time of application.

Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. In accordance with agency policy, SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines. Applicants are reminded of legal prohibition against the use of Government envelopes or other property for other than officially approved activities. These prohibitions are contained in 5 U.S.C. 735.205, 39 U.S.C. and 18 U.S.C.

WHERE TO SEND APPLICATIONS

*U.S. Securities and Exchange Commission
6432 General Green Way, Mail Stop 0-1
Alexandria, VA 22312
Attention: Al Robinson
FAX: 703-914-0556*

FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: WWW.SEC.GOV/JOBS.SHTML

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

New supervisors will be required to serve a one-year supervisory probationary period.

EQUAL EMPLOYMENT OPPORTUNITY

Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodations will be on a case-by-case basis.

**ESHA JOB POSTING
EMPLOYMENT GUIDE**

U.S. Securities and Exchange Commission

Office of Human Resources and Administrative Services (Mail Stop 0-1)

6432 General Green Way

Alexandria, VA 22312

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

**JOB
APPLICATION**

- Apply by submitting a résumé or *Optional Application for Federal Employment* (OF-612).
- Place in the top right corner of each page of your application: job title, grade and job announcement number and geographic location of the position for which you are applying.
- If the job is being advertised at more than one geographic location, a separate application is required for each location.

**LEGAL
REQUIREMENT
S**

- Provide your social security number, name, address, home and office phone numbers.
- United States citizenship is required. You must state in your application that you are a U.S. citizen.
- Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.

**EDUCATION &
TRAINING**

- List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).
- You must **submit a copy of or the official college transcript** if the job announcement requires it.

EXPERIENCE

- List the job title of your position; name and address of employer; and, supervisor's name and telephone number. **You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.**
- Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.
- **Indicate whether we may contact your present and previous employers.**
- If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.

**MANDATORY
SELECTIVE
FACTOR
EVALUATION
PROCEDURES**

- If a mandatory selective factor is present in the job announcement, candidates must meet it in order to be given consideration for the position.
- A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications (and any mandatory selective factor) specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.

**SPECIAL
SELECTION
PRIORITY**

- This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).
- To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same

**FILING A JOB
APPLICATION**

local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be well-qualified as a displaced Federal employee for the SEC position.

- If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.

You may:

1. Mail your application (or applications if applying for more than one geographic location) through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the announcement.
2. E-mail or fax your application (or applications if applying for more than one geographic location) to the e-mail address or phone number listed on the announcement. Applications must be received by the closing date specified on the announcement.

**WHERE TO
SEND YOUR
APPLICATION**

U.S. Securities and Exchange Commission
Office of Human Resources and Administrative Services (Mail Stop 0-1)
Attention: Al Robinson
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Fax Number: 703-914-0556